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ABSTRACT

This document outlines concepts of organization, operation, and administration for colleges and universities. Emphasis is placed on the enterprise, governance and administration, purposes, organization, operations, support services, management of resources and techniques of direction, and evaluation and accountability. (MJM)

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AN OUTLINE OF CONCEPTS OF ORGANIZATION, OPERATION, AND ADMINISTRATION FOR COLLEGES AND UNIVERSITIES

by

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AN OUTLINE OF CONCEPTS OF ORGANIZATION, OPERATION, AND ADMINISTRATION FOR COLLEGES AND UNIVERSITIES

The Enterprise

1. A formalized, organized endeavor bringing together purpose, people, resources, and a work process constitutes an enterprise. A college or university campus constitutes a higher education enterprise.
2. The college or university enterprise functions within a given environment. This environment includes the community or locality where the enterprise is located, the state which may or may not provide needed resources for operation, and the nation which may or may not provide needed resources for operation. The environment includes the publics with opinions about the college or university, the clients who make use of the outputs of the college or university, and supporters of the enterprise such as alumni, families of students, and friends. The environment also includes competitors or rivals who are engaged in the same operation and seeking their own influence, status, and survival through the acquisition of necessary resources.
3. The environment of a college or university enterprise establishes opportunities of service, obligations of performance, and constraints in the availability of needed resources.
4. The college or university enterprise may or may not have clearly identified its environment, fully cultivated available resources, made adjustments because of competition, and recognized the obligations and constraints of its circumstances.

Governance and Administration

1. Governance is a structure and process whereby society establishes purpose and performance expectations for an enterprise. Governance involves the determination of the values to be realized, the goals to be accomplished, and the distribution of benefits to be obtained through the activities of the enterprise.

2. Administration is a structure and process whereby an enterprise performs the work outputs it is expected to achieve within the available resources provided and in accordance with the techniques of direction employed.

3. Governance and administration in any enterprise, and especially within a college or university enterprise, are closely interrelated. Governance defines purposes and scope of operation. Administration translates purposes and available resources into work outputs.

4. The college or university enterprise is subject to a structure or social arrangement of external governance which may be general or specific. If a college or university enterprise has been established under governmental sponsorship, there will be some kind of structure and process whereby the sponsor exercises the authority of governance. If a college or university enterprise has been established under the sponsorship of some private association, there will be some kind of structure and process whereby the sponsor exercises the authority of governance. In general ways society through the political process of duly enacted laws may exercise the authority of governance over colleges and universities by establishing general standards of desirable activity and operation.

5. To a substantial extent, the authority of governance and administration for a college or university enterprise may be left to the autonomy of the enterprise itself. This autonomy is usually vested in a board of trustees in whom the authority of both governance and administration has been vested.

6. In a multi-campus structure of governance and administration, there is usually a single, centralized board of trustees with the authority of governance and administration for several different campuses, or several different college or university enterprises. In these circumstances the college or university enterprise may tend to have less autonomy than other such enterprises with a separate, individual board of trustees.

7. Boards of trustees in large part depend upon a chief executive officer designated as president or chancellor to advise them in the exercise of their authority of governance and administration. This chief executive officer is expected, because of educational background, experience, and competence, to provide leadership in both the governance and administration of the enterprise.

8. The college or university enterprise is unique in the extent to which faculty members and students may seek and obtain an important role in governance through the delegation of decision-making authority and by the exercise of this authority through internal organs of decision-making.

9. The college or university enterprise is unique in the extent to which faculty members and students may seek and obtain an important role in

administration through the delegation of operating authority and by the exercise of this authority in the administration of work activities.

10. The structure and process of governance externally for a college or university enterprise may or may not be clearly defined, fully understood, and properly utilized to achieve maximum effectiveness and efficiency in the conduct of the enterprise itself.

11. The structure and process of administration externally and internally for a college or university enterprise may or may not be clearly defined, fully understood, and properly utilized to achieve maximum effectiveness and efficiency in the conduct of the enterprise itself.

12. The two structures and processes of governance and administration may or may not be clearly differentiated and fully understood. In an enterprise, as distinct from a social institution or a political structure and process, performance of desired work output necessarily becomes the primary criterion of social utility.

Purposes

1. The college or university enterprise seeks to serve society through the higher education of students. This higher education may be designed to acquaint the student with a general comprehension of the intellectual and creative resources of man, including the process whereby knowledge accumulates and creativity is encouraged. This higher education may be designed to prepare the student through the use of knowledge and the development of individual skills to practice a para-profession or profession in society in accordance with the needs of society for such educated talent. This higher education may be designed to assist the student in achieving intellectual and emotional maturity of the individual and the reinforcement of a personal commitment to such values as intellectual integrity, an appreciation for cultural creativity, and the ethical performance of one's talent for the betterment of one's fellow men.

2. The college or university enterprise seeks to serve society through research and creative activity. Research endeavors to expand the body of concepts and understandings which constitute the current stock of man's knowledge. Creative activity endeavors to expand the range of artistic, literary, dramatic, musical, and structural expressions of man's esthetic drives.

3. The college or university enterprise seeks to serve society through public service including the development of the practical application of knowledge so that such knowledge may be employed in the physical, material, and spiritual well-being of man; the preservation and demonstration of creative accomplishment; continuing education of individuals in knowledge and creative activity; and the provision of advice and counsel to other social institutions.

4. The college or university enterprise seeks to serve society through the promotion of educational justice whereby the opportunities and advantages of education, research, and public service are made available without discrimination based upon sex, race, religion, national origin, or socio-economic status.
5. The college or university enterprise seeks to serve society through the critical evaluation of the performance of the institutions of society, with evaluation based upon intellectual and creative standards of desirable performance which are clearly and reasonably formulated. The acceptance or rejection of this evaluation is not a purpose of the college or university enterprise.
6. The college or university enterprise seeks to serve society through the continued self-assessment of its own performance, through the perpetuation of its essential services, through effective and efficient performance of these essential services, and through its own internal achievement of educational justice.
7. The college or university enterprise may or may not have clearly formulated its purposes and endeavored to express these purposes in various processes of operation.

Organization

1. Organization of the college or university enterprise is both a structure of governance and a structure of administration. To the extent that the enterprise makes decisions about purpose and scope of operation, the structure of governance facilitates this decision-making process. To the extent that the enterprise makes decisions about the output of services and work procedures, the structure of administration facilitates this decision-making process.
2. Organization is an assignment of roles to various persons. A structure of governance requires legislative, executive, and judicial roles, along with provision for an electorate and an appointing authority for those persons exercising these roles. A structure of administration requires arrangements for leadership, direction, and management. A structure of governance and a structure of administration may be centralized or decentralized. In a decentralized structure a hierarchy or polyarchy of authority and responsibility become necessary elements.
3. Organization in the college or university enterprise establishes a pattern of purposes. The particular purposes of the enterprise will be reflected in a differentiation of activity within the enterprise embracing all the activities required to accomplish the established purposes.
4. Organization of the college or university enterprise establishes a differentiation of activity among individuals and among groups of in-

dividuals. Differentiation of activity in governance involves role assignment and levels of decision-making. Differentiation of activity in administration involves specialization of function in accomplishing outputs and specialization of function in the management of resources and in the techniques of direction.

5. Organization of the college or university enterprise means a bringing together of people committed to common purposes, possessing a sense of identity or common allegiance, involved in the specification of their roles and work assignments, influencing the arrangements for their employment and affiliation with the enterprise, desirous of appropriate codes of expected behavior, and concerned about the viability or survival of the enterprise. The college or university enterprise is unique because the operating work force is composed entirely of professionals with a high degree of educated talent and of intellectual or creative experience.

6. Organization of the college or university enterprise accomplishes its integration of effort among the personnel comprising the enterprise primarily through establishment of an environment of learning. Because learning is highly specialized, because creative activity finds expression in quite different forms and modes, and because there are many different kinds of professions in society, there is an extensive array of differentiated activity among faculty members. Under these circumstances an integration of learning has not proven to be a feasible organizational goal; instead the effort is made to establish an environment of learning in which differentiation of learning activity can be accommodated with effectiveness and efficiency.

7. Organization of the college or university enterprise may or may not meet certain criteria of satisfactory performance: (a) a clearly understood scope of operation; (b) clearly defined outputs of operation; (c) a precise pattern of roles in governance; (d) a precise pattern of administration; (e) a differentiation of activity which is calculated to accomplish defined outputs without duplication or overlapping of activities; and (f) participation and satisfaction for all persons involved in the enterprise.

Operations

1. The operations of the college or university enterprise, embodying the available production technology, accomplish the desired primary outputs of the enterprise. The operations of the enterprise are performed through primary program units. These primary program units may be classified under four program categories: instruction, research, public service, and student aid. Within the program grouping "instruction," there may be various programs with their own output objectives, including general edu-

cation, technical education, baccalaureate studies in the arts and sciences, baccalaureate studies in professional fields, graduate studies in the arts and sciences, graduate studies in professional fields, and graduate professional studies. Instruction may be offered on a part-time or full-time basis, in the late afternoons and evenings as well as during the day, off-campus as well as on-campus. There are also various program units within research, public service, and student aid.

2. A program unit is defined by specified outputs achieved through a particular production technology with available inputs.

3. A unique characteristic of the college or university enterprise is the special position of students as participants in the learning process. Since student instruction is a primary program of a college or university, the recruitment and enrollment of students are important adjuncts of operations. Without an effective number of students, costs of operation may become burdensome and exceed available income. Moreover, students are not passive recipients of a revealed learning but active participants in the exploration of learning. The student role is an essential ingredient of the instructional process.

4. The production technology of the college or university enterprise in its instructional programs involves a learning process. This learning process usually makes use of various instructional methods: lecture, discussion group, seminar, laboratory study, independent study, tutorial study, work-study, internship. Student accomplishment may be determined by various tests, papers, performance, and other evaluative procedures.

5. The production technology of the college and university enterprise in its research and public service programs involves recognized and developed processes for advancing knowledge and creative activity.

6. The production technology of the college or university enterprise in its student aid programs involves the determination of the special abilities of students who upon the basis of these abilities are to be encouraged to undertake particular programs of study or other activities, or the determination of the needs of students whose financial resources are inadequate to meet the expense of higher education enrollment. Financial assistance may be extended to students within the limits of resources provided for these programs.

7. The outputs of the various primary program units of the college or university enterprise are identifiable in terms of units of instruction provided, degrees awarded, students placed in jobs, research projects completed, creative projects completed, and student assistance provided.

8. The college or university enterprise may or may not have determined program needs, defined program objectives, enrolled the requisite number and quality of students, developed effective and efficient production pro-

cesses, achieved desired production outputs, and maintained appropriate quality control of output.

Support Services

1. The college or university enterprise undertakes a variety of support programs in order to provide the services needed to maintain the primary program operations of the enterprise. These support programs may be grouped into three categories: academic support programs, student support programs, and institutional support programs. All three kinds of support programs are indispensable to performance of the primary programs of the enterprise.
2. The academic support programs include recruitment and enrollment of students, operation of learning resources (library and other learning materials), operation of audio-visual services including instructional television, operation of museums and galleries, operation of performing art services, operation of special instructional facilities such as laboratory schools, and the provision of computer services for instructional and research activities.
3. The student support programs include student counseling and instructional assistance, student health service, student recreational and social service, student housing service, student activities service, intercollegiate athletic service, and student financial aid service.
4. The institutional support programs include plant operation and maintenance service, logistical service, administrative service, financial service, security service, and provision of computer services for administrative activities.
5. The college or university enterprise may or may not have organized and provided these various support services in such a way as to achieve effective and efficient assistance to the primary operating programs of the enterprise.

Management of Resources and Techniques of Direction

1. The college or university enterprise, like all enterprises, requires various input resources and techniques of direction if the stated purposes are to be accomplished and if the designated programs are to be operated. These input resources include people, plant, supplies and equipment, and services. The techniques of direction include planning, organizing, pro-

gramming, budgeting, staffing, communicating, coordinating, cultivating external support, reporting, and evaluating.

2. Within the college or university enterprise there will usually be three different levels of management and direction: the institutional or enterprise level, the program level, and the activity or departmental level. Management and direction authority and responsibility will be shared at all three levels; phases or parts of the management and direction effort will be performed at each of these levels of work specialization. Even where certain institutional support services, for example, are maintained on a centralized basis, as in accounting or in purchasing, other levels will necessarily have work to perform in conjunction with the centralized service.

3. Planning involves at least two phases: policy planning and program planning. General purposes must be formulated and programs to accomplish these purposes must be developed. Program plans include outputs, production technology, and required inputs. Utilization of resources is a major concern of planning, as is the augmenting of resources. Planning also involves efforts to improve production technology.

4. Organizing involves the allocation of roles and the differentiation of activity among individuals and groups of persons in accordance with purposes and program outputs.

5. Programming involves the determination of activity units needed to achieve desired purposes, the calculation of desired outputs of program units, the determination of the required production technology, and the calculation of the needed inputs in terms of staffing, plant, supplies and equipment, services, and time.

6. Budgeting involves the allocation of income resources to approved programs and their constituent organizational units.

7. Staffing involves job specification, recruitment, appointment, compensation, work evaluation, promotion, consideration of grievances, and separation of personnel required to perform the primary and support programs of the enterprise. Within the college or university enterprise such staffing includes faculty, administrative, professional, and support personnel. Personnel may be employed on a full-time and on a part-time basis. Students may also be employed to perform work for the enterprise.

8. Communicating involves the efforts to achieve a shared understanding of the shared purpose of all persons comprising the enterprise. Communication is usually undertaken by means of a variety of media.

9. Coordinating involves the process of motivating people to work together in those areas where activities are interrelated or comprise only a part of a program objective. Coordinating may be sought through leadership, participation, persuasion, and pressure.

10. Cultivating external support involves the process of seeking out those interested in and concerned with the enterprise, and especially those with influence or power to provide support for the enterprise.
11. Reporting involves the distribution of information on a factual and timely basis to all who are interested in the policies, programs, and performance of the enterprise. It is especially important that by the nature of the enterprise the college or university should provide such reporting fully and factually.
12. Evaluating involves the determination of the effectiveness and the efficiency of the enterprise.
13. The college or university enterprise may or may not have achieved maximum utilization of resources and may or may not have made the best possible use of all techniques of direction.

Evaluation and Accountability

1. The college or university enterprise has an obligation to evaluate its performance and to report such evaluation as an expression of its social accountability.
2. A carefully devised information system is essential to evaluation of performance.
3. Evaluation of performance depends upon the development of criteria or standards of performance. These criteria include achievement of formulated purposes, the satisfaction of external interests in the enterprise, program effectiveness, program efficiency, continued viability of the enterprise, and commitment to rationality in decision-making and work performance.
4. Achievement of formulated purposes involves assessment of actual accomplishments in terms of basic ends.
5. Satisfaction of external interests involves identification of the social goals of the enterprise and of the extent to which external interests indicate their perception of satisfactory performance.
6. Program effectiveness involves the calculation of the extent to which a particular production technology at a particular cost has achieved desired purposes compared with alternative available production technologies and costs.
7. Program efficiency involves the calculation of the extent to which a particular production technology has achieved desired outputs with the least possible consumption of required inputs.
8. Continued viability of the enterprise involves evidence of social satisfaction and of internal satisfaction with work performance in terms of sufficient income to meet necessary costs.

9. Commitment to rationality in decision-making and work performance involves evidence that the college or university enterprise does in fact endeavor to achieve accommodation of available knowledge, intellectual competence, and consistency of behavior with the interests and desires of those internal and external groups concerned with the enterprise.

10. Evaluation of performance is the prerequisite to accountability of the college or university enterprise. Accountability requires the enterprise to provide interested publics with the evaluation of its performance and to demonstrate the extent to which performance justifies continued social acceptance.

11. The college or university enterprise may or may not practice evaluation of performance on a desirable scale and may or may not acknowledge the essential requirement of social accountability.

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